



Appl. No. 10/781,207  
IDS dated August 27, 2007

JPW

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Peter Szor  
Assignee: Symantec Corporation  
Title: KERNEL MODE OVERFLOW ATTACK PREVENTION SYSTEM AND METHOD  
Serial No.: 10/781,207 Filed: February 17, 2004  
Examiner: Van H. Nguyen Group Art 2194  
Unit:  
Docket No.: SYMC1048

Monterey, CA  
August 27, 2007

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

08/31/2007 HLE333

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### INFORMATION DISCLOSURE STATEMENT UNDER \$1.97(c) WITH FEE

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant(s) wish to call the following documents (a copy of each non-US Patent document is enclosed) to the attention of the Examiner.

#### **U.S. PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	NAME
1)	2003/0014667	01/16/03	Kolichtchak

#### **OTHER DOCUMENTS**

1)	Finnegan, "Pop Open a Privileged Set of APIs with Windows NT Kernel Mode Drivers", <u>Microsoft Systems Journal</u> , Microsoft Corp., March 1998, pages 1-24 [online]. Retrieved on July 25, 2007 from the Internet: <URL:http://www.microsoft.com/MSJ/0398/driver.aspx>.
2)	Vasudevan et al., "Cobra: Fine-grained Malware Analysis using Stealth Localized-executions", 2006, pages 1-15[online]. Retrieved from the Internet: <URL:http://data.uta.edu/~ramesh/pubs/IEEE-Cobra.pdf>

A PTO form 1449 listing these documents is enclosed.

Citation of the above documents shall not be construed as:

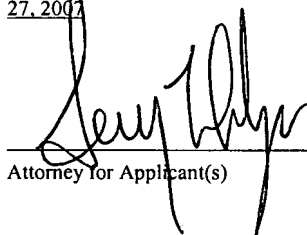
1. an admission that the documents are necessarily prior art with respect to the instant invention;
2. a representation that a search has been made, other than as described above; or
3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

Enclosed herewith is a check in the amount of \$180.00 payable to the Director of the United States Patent and Trademark Office, which is the amount for submission of an Information Disclosure Statement given in 37 C.F.R. § 1.17(p).

The Commissioner is hereby authorized to charge any additional fees, which may be required to consider this paper, or credit any overpayment to Deposit Account No. 50-0553.

**CERTIFICATE OF MAILING**

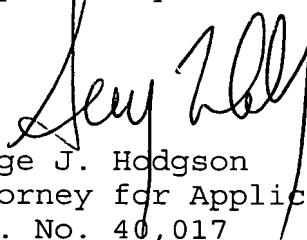
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on August 27, 2007



Attorney for Applicant(s)

August 27, 2007  
Date of Signature

Respectfully submitted,



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Form PTO-1449

Atty Docket No.

Serial No.

SYMC1048

10/781,207

Applicant(s)

Peter Szor

Filing Date

February 17, 2004

Group

2194

**INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION**

(Use several sheets if necessary)

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	2003/0014667	01/16/03	Kolichtchak			
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

**FOREIGN PATENT DOCUMENTS**

							Translation	
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	YES	NO
	AL							
	AM							
	AN							
	AO							
	AP							

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

	AR	Finnegan, "Pop Open a Privileged Set of APIs with Windows NT Kernel Mode Drivers", Microsoft Systems Journal, Microsoft Corp., March 1998, pages 1-24 [online]. Retrieved on July 25, 2007 from the Internet: <URL:http://www.microsoft.com/MSJ/0398/driver.aspx>.
	AS	Vasudevan et al., "Cobra: Fine-grained Malware Analysis using Stealth Localized-executions", 2006, pages 1-15[online]. Retrieved from the Internet: <URL:http://data.uta.edu/~ramesh/pubs/IEEE-Cobra.pdf>
	AT	

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant(s).

